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ABSTRACT

To study the effect of fees for interlibrary resource sharing, data were collected on all requests made to the State Historical Society of Wisconsin (SHSW) during a period when no charges were in effect (representing a normal baseline); during a period when the charges were announced, but not assessed; and during a period in which charges were in effect. In addition, an internal task analysis was made of the costs of providing interlibrary loan (ILL) services by SHSW, and other libraries known to be charging for ILL were surveyed. Results indicate that there is scanty evidence that fees affect ILL traffic, and that the income from the most common fee more than paid the incremental costs of setting up the fee system, although the extra recordkeeping is burdensome. It is concluded that, although further research on the effects of fees is warranted, it may be stated that fees can be a means of equitably distributing real costs of providing services to those who otherwise would pay nothing, and that such fees will not reduce traffic as much as direct user fees such as those charged to consumers of online services. Tables and figures are included, as well as a 33-item bibliography and an appended survey questionnaire. (KM)

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THE EFFECT OF TRANSACTION FEES

ON

INTERLIBRARY LOAN TRAFFIC

Final Report

to

The Council on Library Resources

under grant number CLR 791-C

(Joint Faculty/Practitioner Research Support)

MAY, 1986

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FINAL REPORT

EFFECT OF TRANSACTION FEES ON INTERLIBRARY LOAN TRAFFIC

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SUMMARY

Although there is considerable debate within the information profession regarding both the value and the effect of fees for interlibrary services, there is little concrete evidence. The present study uses the traffic at the library of the State Historical Society of Wisconsin (SHSW) to study the effect of fees for interlibrary resource sharing. Data were collected on all requests made to the SHSW during the eighteen months between July 1984 and December 1986, representing **a normal baseline** (July through December, 1984); a time during which the **charges were announced, but not assessed** (January-June 1985); and a six-month period when **charges were in effect** (July 1985-January 1986).

The charges were assessed upon all filled interlibrary loan transactions made to libraries outside the state of Wisconsin, and were payable via a check or money order for $5.00, or use of a coupon sold by SHSW for $5.00 each. Coupons were also provided by SHSW with each request it sent to another library. $5.00 is the most common amount assessed by libraries which do charge for interlibrary loans.

Compared with the baseline period, during which 2940 requests were received, the period during which charges were assessed saw only 2382 requests, a decline of about 19%. A comparison of fill rates in the same two time periods indicates a drop from 3231 items to 2214, for a decline of about 31%. However, comparison with other measures of interlibrary loans

traffic unlikely to have been affected by the charges also indicates a decline in filled requests over the same time period, suggesting that fees were not the only cause of the decline.

A distinct variation in effect by type of library was noted, with academic libraries as a group actually showing an increase from phase one to phase three. The greatest decline in requests was from public libraries, but the decline in requests from public library **systems** was much less than that in requests from individual libraries.

Overall income from fees charged during the third phase was $4366.65, while additional costs due to implementation of the system were about $1156.00 Thus, at a relatively low fee, the system more than paid for itself.

BACKGROUND--FEE OR FREE ARGUMENTS

The charging of user fees within libraries has been an issue for some time, but especially since the early 1970's. While much of the discussion has revolved around the implementation of new services, especially online searching, the issue is much more pervasive. In particular, the traditional sharing of resources by interlibrary loan has also become part of the "fee or free" issue. Interlibrary lending, although often considered a traditional service by many librarians, presents a clear case of the arguments in the user fee debate, and thus provides a useful test case for all these arguments. A useful summary of the arguments, both pro and con, may be

found in the recent staff report to the National Commission for Library and Information Science.[1]

To summarize, in favor of fees...

1) ILL is easily measured. Much record keeping is already required by current protocols, and such measurements are being made easier by increased use of computers for this record-keeping;

2) The benefits of ILL are clear. To the borrowing library, the availability of an item on ILL means lack of a need to purchase it and maintain it in its collection. To the borrower, ILL means that any given library can become an access point to the collections of all libraries, without the need for travel, or, again, purchase of many items of only short-term need. To the community at large, ILL means the ability to maximize investments, since a local library need purchase and maintain only those materials in heavy demand. Yet, given the diversity of such local demands, sharing on a wide scale means the common needs of all can be met by reliance (primarily) on the fulfilment of local needs, and the willingness to share such material with other localities.

3) The costs of ILL are much less clear than the benefits, but can easily be assigned. A number of studies have been made over the last two decades or so (see pp. 7-9), but without any common agreement as to what costs should be assigned to ILL, and even less as to who should pay which costs. However, unlike many information services provided by the library, it is easy to identify a definite "customer" (the borrowing library), and a

definite "product" (the item(s) loaned or copied). Thus, regardless of how costs are determined, they can be easily assigned.

4) The burden of ILL on the lenders is also identifiable, and growing. In its early days, formal interlibrary sharing was assumed primarily to be a function of the larger research libraries, who did so in reciprocal fashion. Given the assumption that a rough equality of borrowing and lending existed among libraries, there was little need to worry about costs--they should more or less balance out. However, with improvements in communication, it has become possible to determine the exact holdings of a given library with ease. At the same time, the growth in publishing (and , in fact, the production of all types of media) is such that few libraries can attempt to build collections to serve all users all of the time. In addition, the emphasis of the profession on information accessibility has meant an increased awareness of ILL among smaller libraries. In short, there is an apparent burden upon the larger collections, where much more material is loaned than borrowed. And, this burden appears the result of demand from libraries very unlikely to become sources for the large libraries' own requests.

Therefore, since the beneficiaries of ILL can be easily identified, it appears fair that, in some way, these recipient libraries should bear at least part of the costs of the service.

The arguments against assessing fees are also clear...

1) Given the very fact that the issue arises from the growth in

less-traditional libraries' borrowing, charging will tend to reduce access to information. The smaller library is likely to have a smaller budget, and thus would be most likely to be hurt by any fee assessement. Further, knowledge of such fees is likely to cause libraries to seek other sources for ILL's, causing, at the least, some delay in supplying the users' needs. Further, the mere bookkeeping involved in such fees is also likely to cause delays.

2) There is the possibility that a given user might be unable to pay fees, making the fee equivalent to a refusal to supply information.

3) Some have argued that the collection of fees, in itself, is dangerous to the lender. It is unclear that the funds generated really cover the costs--it may be that a reasonably- sized fee generates enough extra bookkeeping at the lender's site that either it does not actually help the library, or it causes the fee to rise to ever higher levels, increasing the odds that the fee will prevent the user from obtaining the material. It has also been argued that the very fact of fees causes a change in the governing body's view of the services--any service which either does not show a "profit" or which cannot easily generate income will be reduced, if not cancelled.

BACKGROUND--PREVIOUS RESEARCH

Apparently the earliest study of ILL in the United States was made by Jewett, in 1848[2]. Since then, there has been a continuous stream of studies on the sharing of materials among libraries, but with surprisingly

little overall consensus. In fact, a review of the literature as of 1965, found that

> most of the problems as expressed by librarians in 1900 are still the ones plaguing librarians 65 years later. Not only are the problems still the same, but the suggested solutions are precisely the same; even what might be identified as accomplishments or demonstrably workable solutions to problems have not been universally accepted[3].

However, it is not unreasonable to date the modern concern with charges for interlibrary loan to the 1972 Westat study sponsored by the Association of Research Libraries[4]. The major concern of this study was the "phenomenal increase in interlibrary borrowing and lending" since the mid fifties. which was seen as placing 'onerous" and "unbearable" burdens on the larger libraries.[5] This concern, of course, was before the advent of OCLC and RLIN, and most of the other computer-based resource sharing systems. The primary thrust was that there was too much reliance on the larger libraries, leading to a desire to to make the burden more equitable, or, at least, to help support the net lenders. A major consideration of the study was the establishment of actual costs for ILL. This was followed by a specific report on such costs by the same study group, recommending a fee-based system, probably using coupons, to help support the system.[6] However, the suggested ideal was for the establishment of state or federal subsidies to insure that the system would continue, and that it would be

open to all. As of this date, while some states do provide some subsidies for some ILL, there is certainly no overall movement to a national system of subsidy, whether federal, state-cooperative, or even semi-private. As Pings found in 1965, no one seems to agree on the solution, although most agree on the problem.

Part of the lack of movement on the question of support for ILL may well be a lack of agreement on the costs. Until some agreement can be reached on what should be subsidized or reimbursed, it is unlikely that such subsidy will be forthcoming. Unfortunately, there is not only little agreement on costs, but not even agreement on what should be included as costs. A convenient summary of the pre-1965 literature in Pings, found average costs ranging from $1.59 per transaction in 1930 to $3.47 in 1960, but significant variations in actual costs in any one of the studies over time[7]. Palmour's often-cited figure for 1971 was $4.67 for the average filled request, but with a range among only 12 libraries for such a filled request from $2.05 to $6.81[8].

During the seventies, a number of studies of library fees were made, including not only interlibrary loans, but many other services as well. An attempt was made by Smalley for the Battelle Institute in 1980 to summarize these, and earlier studies, and calculate all costs using the same base. Again, very little consensus regarding overall costs was found, but Smalley was able to calculate an average cost per lending request of $8.75 (with a standard deviation of $3.76)[9].

For the most part, the issue of fees, has developed in the last decade or

so around the emergence of online searching, and other "newer" types of library information services. The useful review of the issue as of 1979 by Waldhart and Bellardo, noted that a number of areas for research were still open--the debate had not led to any agreement even on the facts at issue.[10] The NCLIS review, in 1985, indicates essentially the same situation: most current studies were connected with online.[11]

However, over the past few years, a number of studies have at least attempted to determine who charges for what services. These surveys suggest a substantial difference in approach by type of library--in short, public libraries are much less likely to charge for services or document delivery than are academic institutions. Peter Bassnet's summary of three recent surveys of library fees is supplemented by the NCLIS study, which includes two more recent studies. Regarding interlibrary loan, the results show that few libraries, regardless of their general apparent attitude toward fees, charge for this service:

TABLE 1

SUMMARY OF SURVEYS OF LIBRARY FEES FOR INTERLIBRARY LOANS AND RELATED CHARGES

Survey	% charging for photocopy	% charging for ILL
170 California Public Libraries 1976-77[1]	80%	1%
716 United States Public Libraries 1977[1]	88%	9%
28 Large Urban Canadian Public Libraries 1978[1]	93%	18%
139 California Public Libraries 1983[2]	n/a	8%
32 Montana Libraries (all types) 1984[2]	84%	38%

[1]Peter J. Bassnet, "Implications: Charges for Public Library Services," Canadian Library Journal, 38 (2) April, 1981, 58-59.

[2]Philip Rosenberg. "The Role of Fees in Supporting Library and Information Services in Public and Academic Libraries" typescript. National Commission on Libraries and Information Science, April, 1985, pp. 29-30.

Apparently only one other general study of interlibrary loan fees has been applied to academic libraries: In 1982, the Association of Research Libraries found, of their membership who replied, that about 33% were already charging for this service; that 25% planned to increase these charges; and that 75% were "possibly" going to increase or begin charges in the near future. Thus, it appears that, while ILL charges are not typical of

the public library, at least the larger academic institutions have accepted them as a given.[12]

The issue of the effect of library charges for any services, let along ILL has received much less study. The dearth of such research was noted by Huston[13], and also by Waldhart and Bellardo in 1979 reviews[14]; the same problem is still noted by NCLIS in 1985[15]. All three reviews thus called for more research on the subject. The irony of such a call after the amount of discussion on the subject is truly ironic--Pings's assessment of 1965 still applies: we agree on the problems, but we can't agree on the solutions or, it would seem, even on the basic data needed to achieve the solutions.

Since it so critical to the issue of fees, the small amount of research on this subject is worth recapitulation. In the modern sense, the earliest such study was part of the DIALIB project, in which four California public libraries offered online searching to their patrons first, at no fee; then at half the cost; and then, in a third year, at the full cost. Only two library participated over all three years. They found the number of searches went from 820 in the free period, to 350 in the half-charge period, to 380 when full charges were assessed.[16] For the four libraries as a whole, the result was 2000 searches in the first, free mode; and 750 in the half-charging mode.[17]

A more general study of the effect of charges on information transfer was also reported in 1977 by Rubin. In 1972 the Battelle Memorial Institute

began charging for all its formerly free services, including information analysis and document delivery. it found a 76% reduction on the number of inquiries and, they also found that 50% of the inquiries which were received were cancelled when the fee was known. [18]

The following year a study purely concerned with document delivery, but only to physicians--users presumably able to pay and with a serious need for the information--found a 92% decrease in use of a photocopy service in the first year of charging.[19]

A different approach, from an economic modelling point of view, was attempted by Casper in 1979. Based on institutional users of the Cleveland Health Science Library , over fifteen years, 24 different models were applied. The net result--"in all of the models...the sensitivity of the quantity of library service demanded to changes in price is very low... ." The author also found an apparent tendency for the demand for library services to increase as the user's income increased.[20]

Similar results were found at the University of Tennessee--Knoxville: use of their online search service increased when they changed from a flat fee to charging full costs.[21] The University of Delaware also found an increase in fully paid-for searches, even after they began a subsidy for one group. (That group, of course, used the service much more after the partial subsidy than those who paid full price).[22]

Kibirige's study of Pittsburgh area libraries in 1978-79 involved not only a mail survey , but also interviews with library users. He discovered that users, regardless of type of library, tended to accept charges for

literature searches, but to resist them for interlibrary sharing. The basic argument appears to be that ILL is, in effect, a failure on the part of the library to have a document; thus, the user feels that he/she should not have to pay "extra" for such a service. However, he also found that public library users were more likely to accept ILL fees, than academic and industrial users.[23] Public library users also saw little validity to the commonly-used argument of double taxation (you already paid for library services in your taxes). noting they had to pay fees to use parks, museums, and superhighways. Of further interest is the fact that academic and industrial library users felt that ILL was a commonly-used service (as opposed to, especially, manual literature searches), whereas the public library users saw all three services as little-used.[24]

A recent study in a related field may also provide assistance. Kaempfer and Brastow, in a general discussion of the Alchian-Allen proposition (if I add a new fee to all apples, people will be more likely to buy the good ones), conducted a study of the use of two campus parking lots, one much closer to the campus. Originally, the "better" lot cost 25¢ a day, the "worse" cost 10¢. Then both fees were raised, to 35¢ and 20¢ respectively. They found, in the first semester after the fee was charged, an increase in use of the more expensive lot, and a decrease in use of the cheaper, less desirable lot; but also found an overall decrease in the proportion of students who used either lot.[25]

This small body of literature is hardly conclusive. Apparently, the imposition of a fee, where none existed before, will lead to a drop in use, of up to 90%; an increase in an existing fee can lead to a slight increase in use. And, it would appear that public library users may be less resistant to fees than their (presumably) better-funded colleagues in academic and special libraries. It is also worthy of note that there seems to be a difference in whether the "user" is a human being, or a library.

Thus, in the following, it must be remembered that we are studying a situation where fees were not formerly charged, and we have data only on the first response to charges.

CASE STUDY: THE LIBRARY OF THE STATE HISTORICAL SOCIETY OF WISCONSIN

Many of the problems noted in the literature became apparent in the research for this project. The Library of the State Historical Society of Wisoconsin is one of the largest of its kind in the nation, holding about one million print volumes, and nearly 700,000 units of microforms, all in the general subject of United States and Canadian history. Unlike many similar libraries, it has liberal lending policies, both to citizens of Wisconsin and to other libraries throughout the nation. As is the case with many larger libraries, its total use has been rising rather dramatically over the past years, while its total support has remained relatively static, or has grown only slightly. For example, over the fiscal 1973-1983 period, the library

experienced a growth in various public services of over 100% while its staff grew by only one FTE position. (See Table 2).

TABLE 2

SELECTED MEASURES OF LIBRARY USE AND RESOURCES
STATE HISTORICAL SOCIETY OF WISCONSIN

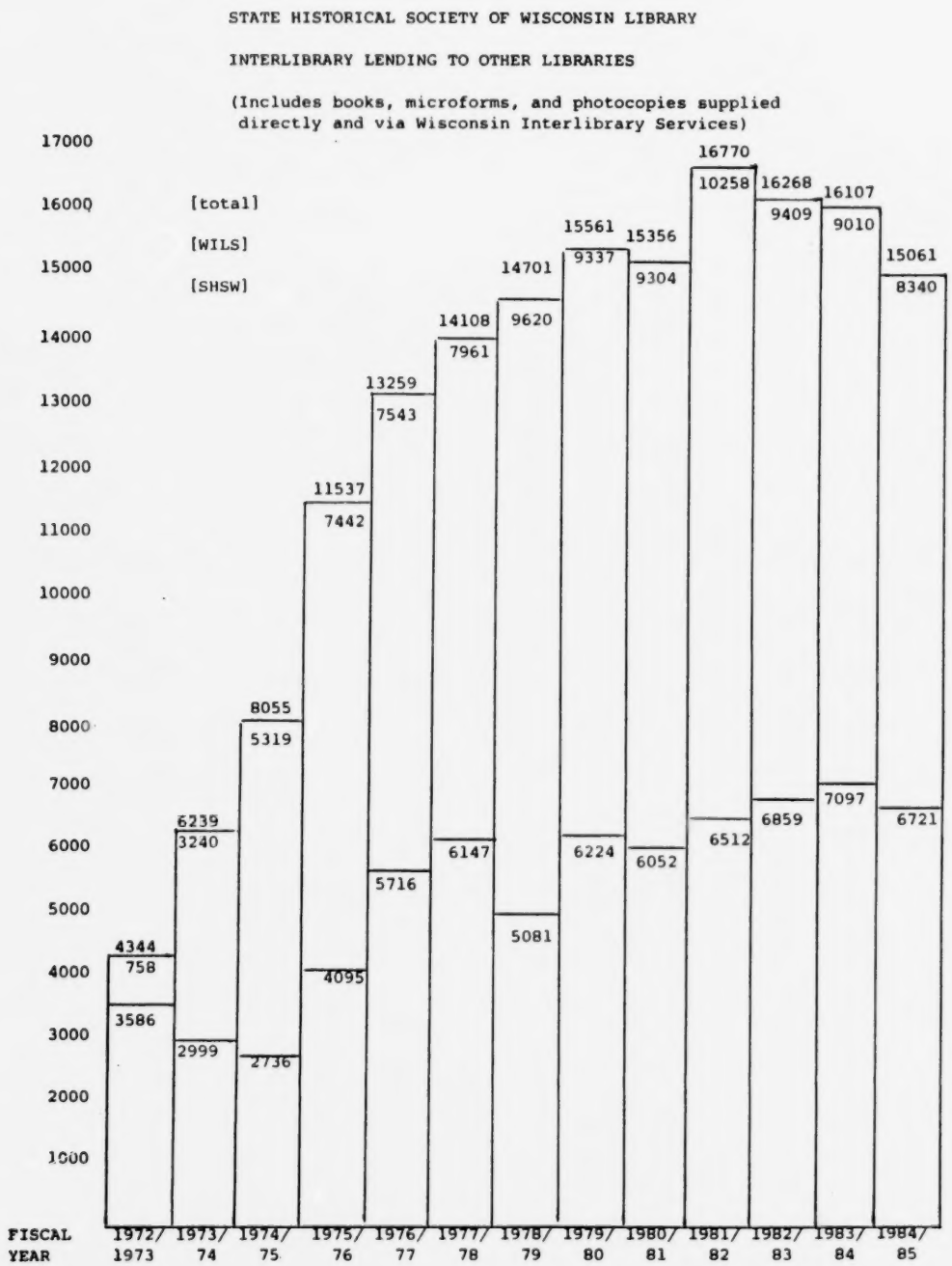
MEASURE	1972-73	1982-83	CHANGE
RESOURCES:			
Regular staff, FTE	22.0	23.5	+6.8%
Funding for student, limited term staff, as FTE (total budget allocation divided by starting wage for student aides)	9.5	4.4	-54.0%
PUBLIC USE			
Direct loans	102,744	144,648	+41.0%
Interlibrary loans	4,344	16,268	+274.0%
Reference requests	9,160	19,910	+117.0%

In particular, interlibrary lending has grown significantly, while the number of staff available for this service did not change. The staff, at the time of

the study, consisted of one librarian, also in charge of circulation and stack maintenance as well as both interlibrary lending and borrowing, and one full time paraprofessional (also involved in general circulation work), plus students totalling approximately 0.5 FTE. This staff not only handled all ILL (both borrowing and lending) but also was responsible for all circulation functions, including overdues, reserves, etc., and stack maintenance for the general collection. Interlibrary loan also had an impact on the microforms room staff (1 librarian plus 1.9 FTE students). While the permanent staff grew slightly over the past decade, there was actually a decline in the resources available to hire students.

This growth rate has been absorbed thanks to the development of a state-wide network, which includes interlibrary lending among its functions. The Wisconsin Interlibrary Loan Service (now part of the Wisconsin Interlibrary Services) began in 1973 as a means of facilitating resource sharing among the state's academic libraries. Rather quickly, it also became a source of referral from the state's public library network as well. Since WILS relies on the use of its own staff to obtain materials from the Madison campus of the University of Wisconsin and from the State Historical Society, requests from it have the same effect on the lending library as a normal circulation: WILS staff obtain the item; copy it if necessary; fill out the charge card for loans; and maintain all necessary records normally related to ILL. As may be seen from Figure 1, a high percentage of the ILL growth since 1973 has been handled by WILS.

FIGURE 1


STATE HISTORICAL SOCIETY OF WISCONSIN LIBRARY
INTERLIBRARY LENDING TO OTHER LIBRARIES
(Includes books, microforms, and photocopies supplied directly and via Wisconsin Interlibrary Services)
[total]
[WILS]
[SHSW]
17000
16000
15000
14000
13000
12000
11000
10000
9000
8000
7000
6000
5000
4000
3000
2000
1000
4344
758
3586
6239
3240
2999
8055
5319
2736
11537
7442
4095
13259
7543
5716
14108
7961
6147
14701
9620
5081
15561
9337
6224
15356
9304
6052
16770
10258
6512
16268
9409
6859
16107
9010
7097
15061
8340
6721
FISCAL YEAR
1972/ 1973
1973/ 74
1974/ 75
1975/ 76
1976/ 77
1977/ 78
1978/ 79
1979/ 80
1980/ 81
1981/ 82
1982/ 83
1983/ 84
1984/ 85

However, the State Historical Society benefits further from this arrangement. Since WILS is, in part, supported by the University of Wisconsin (e.g. UW supplies office space rent free); and since it facilitates greater state use of the lending libraries' collection, the University in return obtains a sum from the state legislature each biennium to reimburse for the wear on its collection. The Historical Society Library shares in the distribution of this reimbursement. While not strictly a service fee, it is related to the amount of ILL traffic from each participating library. Thus, in effect, and indirectly, the State Historical Society does obtain extra financial benefit from its Wisconsin interloan traffic.

In short, an interlibrary lending transaction within the state of Wisconsin creates little extra work for the staff at SHSW and helps generate extra funds for the library's collection. On balance, the Society has found WILS to be a very useful service, and has been able to absorb the additional circulation-type work with little difficulty.

However, after subtracting WILS , "normal" interlibrary traffic had still nearly doubled for SHSW since WILS had begun (i.e. to 1983-84, the fiscal year before charges began). By the beginning of 1984, with the realization that requests for more staff were not likely to be filled in the near future, it became obvious that something had to be done. Given the assumption that WILS handled most of the Wisconsin ILL requests, this remaining growth resulted from loans to other states.

In any event, it became clear that the library was approaching a crisis, in that its staff could not be expected to continue all services and still

maintain the quality of such services. An examination of such services led to a general model of three responses: 1) Reduce services; 2) Reduce quality, but continue services; or 3) Find ways of supporting continued quantity and quality of services. One obvious way to reduce services would have been to reduce hours of operation. Unlike most historical libraries, the SHSW is open four nights a week and all day Saturday (when the University of Wisconsin is in session) and it circulates most of its holdings. Reducing either hours or circulation would clearly affect the primary users of such services--the citizens (and taxpayers) of Wisconsin. Thus, the focus was placed on services heavily used by those outside Wisconsin.

In practice, two such services existed--reference (primarily via letter), and interlibrary lending. Reference work can be very time consuming, but assessment of charges did not appear a good idea--the difficulty of identifying the users and of assessing a fair charge is very great. In addition, the library had an increasingly successful fund-raising drive via direct mail, based on the reference questions answered. Thus, charges for reference work were rejected.

Out-of-state interlibrary lending, on the other hand, did not pose these problems. There was currently no income generated by non-Wisconsin use of this service. Further, there was a feeling that the library's increased growth in this area was due, in part at least, to its participation in OCLC, publication of catalogs and finding aids, and similar activities. In addition, it appeared that bookkeeping for ILL charges, beyond that already required by the system, would be mimimal. And, historical precedent indicated that

many other libraries were already charging for ILLs. A clinching argument related to the existence of the WILS system: not only were the people of the state of Wisconsin already paying to support the library through their taxes, they were providing extra funding via the "WILS allocation" in recognition of the special burden of ILL. Yet, with a few exceptions, SHSW was receiving no support at all from the rest of the world.

The arguments for assessing an interlibrary lending fee can thus be summarized as:

1) Cost: ILL is becoming a very large burden. At least part of the burden results from the costly provision of new bibliographic aids to this collection, which make it easier to access it.
2) Equity: Wisconsin taxpayers are already paying for this service, both directly and indirectly. Residents of other states pay nothing at all.

STUDY DESCRIPTION

A literature search turned up relatively little regarding how much ought to be charged, what effects actually resulted from any charges, or even an consensus on how to determine charges. Thus, it appeared that the change in policy would provide a useful test case for two hypotheses related to discussions of library fees:

1) Implementation of fees for services will reduce interlibrary loan traffic by at least 25% (a guesstimate, based on the studies cited above, pp. 6-12 and a rate which the Curators of the Society felt acceptable as a

reduction in services)

2) The costs associated with fees are small enough that, even with the drop in requests, there will be a net gain in income at the $5.00 fee level.

Therefore, a formal proposal was made to the Historical Society's governing board, the Board of Curators, to begin charging for filled out-of-state interlibrary loans, on a trial basis, and to the Council on Library Resources to conduct a study of the effects of this at the same time. While the Curators were dubious, they agreed, on the basis that this was a trial study. In addition, the Research Resources Committee of the Curators suggested a problem which has not apparently been addressed at all in the literature--that of retaliation. The Committee was concerned that, since SHSW was a state agency, its charges would be perceived by other states as a state-wide policy. Such a perception could lead to the imposition of charges, or refusal to lend to Wisconsin libraries, even those with no direct state connection. Thus, while the Curators approved the experiment, they also requested an attempt to discover an answer to the retaliation question.

PROJECT DESCRIPTION

Although the research methodology is discussed below, an overview of the project may be useful. During the first phase, other than the work diaries kept by staff, no changes were made in any procedures. During the second phase, while no changes were made, potential customers were notified of the impending fees.

Notification included a form letter included in all responses to ILL requests and a short article in the Society's membership newsletter, Columns. The notice was picked up by some other organizations, particularly genealogical societies, who indicated the change in their own newsletters. (See Appendix One for sample documents).

METHODOLOGY

The study involved three different data collection methods, in keeping with the three different parts of the questions asked. These methods were: 1) Collection of information regarding the actual ILL traffic to and from the Historical Society; 2) Internal task analysis of the costs of providing ILL services by the Society; and 3) A survey of other libraries known to be charging for ILL at the present.

1) ILL TRAFFIC DATA COLLECTION. Actual data regarding ILL traffic was collected over three six-month periods. Since the Society library is both a state agency and a public library with many of the aspects of a university library, it participates in the rhythms of both an academic and a public library. In its first role, there is a distinct semester pattern, with a lull during class breaks. However, the total traffic in the library does not decline very much, as the general public appears to "pick up the slack" when the students are not present. Thus, the investigators felt that a six month time period would be sufficient to establish the use of both of these groups.

The data were collected in three phases. First, in order to establish a

baseline, all requests coming to the library between July and December, 1984 were counted. Second, a count was made during the first half of 1985, a period when there was no change in policy, but after the library announced that it would begin charging. Finally, the same data were collected from July through December, 1985, during the first six months of the assessment of transaction charges.

In order to determine all ILL traffic, staff at the Society kept a copy of all incoming ILL transactions received. These included (in order of frequency): standard ALA-type ILL forms; copies of OCLC ILL subsystem requests; and personal letters, postcards, and other non-standard requests.

For each record, the following data were entered into a Sperry 1100 text file: phase during which the request was received (baseline; announcement without charge; charge in force); state from which the request came; first three digits of the ZIP code; type of library; and library name. In addition, in case the effect of the announcements and the charges only become visible over time, during phases two and three, the month the request was sent was also entered for each item.

Also, for the third phase, the library staff were requested to record all outgoing requests for ILLs in order to determine those libraries which were reciprocal borrower/lenders, as opposed to those who were only borrowers during that time. From this list, for phase three, each request was also coded as to whether the library was only a borrower, or a lender as well. The instructions to the data entry personnel can be found in Figure 2.

FIGURE 2

INSTRUCTIONS FOR CODERS--INTERLIBRARY LENDING STUDY

COLUMN 1: Condition:

1= Baseline

2= No charge, but charge announced

3= Charges in place

COLUMN 2-3: State of Requesting Library

Use Postal Service 2-letter abbreviations for all US states and territories

Use XX for all foreign nations

COLUMN 4-6: Zip Code of Requesting Library

Use first three digits of Zip code in return address

Use 001 for foreign countries

COLUMN 7: Type of Library

A= Military Library

B= For-profit broker

C= Academic: University, college

G= Government, not otherwise coded

J= Junior college; community college; 2-yr college

K= School library: elementary, secondary, junior high, senior high, etc.

L= Law firm, law library ,including academic law library

M= Medical library: including private firm, hospital, academic medical library

P= Public Library (not part of a system--see Y)

R= Church, religious library

S= Special library, not otherwise coded

Y= Library system: use also for libraries with the following words in their name: "federated" "system" "regional" (Code libraries with "County Library" as Public, unless other words also appear).

Note: In cases where the library name, state, zip code, or type are not clear, use the OCLC "List by OCLC codes" to determine identity; use the American Library Directory to determine library type. Accept the ALD codes, except for the use of Y for systems (our own code). Where both C or J appear along with L or M, code as L or M.

COLUMN 8: Borrower or reciprocal.

For conditions 1 and 2, enter as 0

For condition 3, refer to the list of lenders. If not on the list, enter 1; if library name is on the list, enter 2. [note: during data analysis, all lender/borrowers were coded as 2, regardless of phase, for some analysis purposes]

COLUMN 9-12: Date of request

For condition 1, enter as 8400;

For conditions 2 and 3, enter year and month, e.g. 8501=January, 1985.

Use the date on the request form as entered by the sending library, not the date received by the SHSW.

COLUMN 13: Blank

COLUMN 14ff: Library Name

Enter entire library name, excluding the term "Interlibrary Loan Department" or similar. Do not abbreviate or use any punctuation, except always use the letter L for the word library or libraries.

If you cannot determine the answer to any of the above, enter a zero -- 0 -- in the column(s).

All entries were proofread for consistency. The file was sorted by library name, and all entries were then checked for consistency of library name and agreement of codes with name. A number of corrections were made to ensure that the library always had the same name in the file. Since the forms used by various branches of larger libraries often varied and since the address given on OCLC often was inconsistent with that used on printed forms, more correction than expected was needed. In order to facilitate this work, as the data were entered, the line number assigned by the Sperry Text Editor was written on the paper ILL form.

2) INTERNAL TASK ANALYSIS: In order to establish whether or not the change in ILL caused large changes in staff time, an analysis of all those involved in any way in the delivery of documents to other libraries was conducted for one week during the first and third phases. Each staff member of the Historical Society whose work might involve ILL was given a brief diary form and asked to record all time involved in interlibrary activity of any kind. The records included a number of library staff, as well as the administrative staff participating in the bookkeeping and accounting function of the Society.

3) THE SURVEY OF OTHER CHARGING LIBRARIES. Given the Board of Curators' concern as noted above, a survey of libraries now charging for ILL was conducted. The population studied was all libraries for which the Society Circulation Librarian had a record of charges, plus all libraries indicated as charging for loans in Morris and Brautigan's Interlibrary Policy Directory.[25] These libraries were sent a mail questionnaire, with a stamped business reply envelope (See Appendix Two). Since a response rate of 66% was received on the first mailing, no followup was considered necessary. Of the 130 libraries surveyed, responses were received from 86.

RESULTS--THE SURVEY

SUMMARY:

The appears to be a consensus that the "just price" for an interlibrary loan is $5.00. On the other hand, there is no consensus at all on fees for copying. A substantial number of libraries (about 20%) did feel they had experienced "retaliation" due to their assessment of fees, but the most common form was assessment of reciprocal fees, declared by others not to be "retaliation" but rather a reasonable, equitable response. Only two libraries claimed possible retaliation against libraries related to them, and only one of these could point to any specific negative action.

The basic purpose of the survey was to determine what consensus there was about charging for interlibrary document delivery, whether loan or copy. This included questions about the fees actually charged, exceptions to those fees, and reactions of the information community to those fees.

FEES

The first, and rather surprising result of this survey, based as it was on recent information, was the response from several libraries that they did not charge for interlibrary lending. Four libraries indicated they had no charges at all, and two more charge only if the borrowing library has fees. (One library did not respond to this question). Thus, it appears that even the most recent ILL policy directory is in error (all six libraries, as it

happened, were in Morris and Brautigan).

The real irony is that, for at least one of these institutions, the fee issue is a major concern. The respondent replied at length regarding a decision not to charge a number of years ago, and did a good job of listing all the anti-fee arguments. How this library became listed as imposing fees under such circumstances is a mystery.

Another curious response came from ten other libraries. Each of these answered that it did not assess ILL fees for lending, but then went on under "exceptions" to indicate that it did do so, typically for for-profit information centers, although one replied that it charged both corporate libraries, and all out-of-state public libraries, as well as those which charged it. Given a response of 86, having 12% claim they don't charge when they do is significant. One might surmise that the fee/free issue is such a major controversy that members of our profession avoid dealing with it, even when it is present.

Actual fees charged vary considerably, from less than $1.00 per transaction, to as much as $15.00. However, by far the most popular fee is $5.00--listed by 32 libraries who admitted charging for loans of books, and four of those who did not admit this. Many fewer lend journals or microforms, but, again, of those who lent, $5.00 is the most popular fee. Although the form permitted an indication of how many items (assuming volumes or reels) would be lent for a given fee, there were so many exceptions and variations noted that these reponses were not very useful. The most common answer, however, regardless of format, was that the fee

applied to one item per loan.

TABLE 3
CHARGES FOR INTERLIBRARY LOANS BY FORMAT
NUMBER OF LIBRARIES CHARGING FOR LOANS

FEE	BOOKS	JOURNALS	MICROFORMS
> 1.00	5	1	2
1.00	-	-	-
1.50	-	1	-
2.00	-	-	2
2.50	2	-	-
3.00	3	2	1
4.00	3	2	1
5.00	32	12	14
6.00	11	7	6
7.00	3	1	2
8.00	2	-	2
9.00	-	-	2
10.00	7	2	3
12.00	-	-	1
15.00	2	2	2
variants*	16	9	11
TOTAL	86	40	49

*e.g. reciprocal charges; no charges at all; charges to specified clients.

It has been generally accepted that libraries charge for making photocopies. [27] Thus, it is no surprise that the survey found most respondents assessing some sort of fee for copying, whether from print, or

from film. The surprise is that there is so much variation in the charges. In fact, this variation, by the time all exceptions are included, is so great that there is little point to trying to list all possible charges. Suffice it to say that they include a flat fee , allowing the requester to obtain from up to 10 pages for less than $1.00, to up to 150 pages for $12.00 and a per-copy charge ranging from 10¢ to $1.00 per exposure. However, it is possible that a given article would be only one page long, so that a $12.00 minimum (the highest, charged by only one library) could, under some circumstances, be equivalent to $12.00 a page.

A fairly common approach is the assessment of a minimum fee, giving the requester X pages, with a cost of so much per page over that, or imposition of a handling fee, regardless of article length, with each page then paid for as well.

While fewer libraries make copies from microforms, the charging mechanisms are as varied as those for copies from print. An interesting problem here, which went unnoticed by all respondents, is that a number of libraries neither lend nor make copies from microforms. Regardless of one's opinion of fees, certainly the inability of obtain a given type of material regardless of charge, just because of its format, is cause for concern. Presumably, the libraries in question do not have the appropriate equipment. Again, further study of this aspect of ILL is warranted, especially since microform is a common format in most libraries of any size.

"RETALIATION"

An item of great interest to the Curators of the State Historical Society which, after all, is partially a membership organization, was the potential for negative responses from libraries once SHSW began charging. In addition to the mail questionnaire, the library kept a careful record of correspondence received on the subject. This included not only letters (there were no telegrams, electronic mail, or phone calls) received by the library, but also any response received by the Director of the Society, any other administrative officer, or the Office of Public Information. A total of four letters was received during the period of the study--which included a entire year from the announcement of fees.

The tone of these letters was very similar: objection to fees as impeding the writer's research, and working a hardship on the writer, who lived some distance from the Society, yet used its collections to a great extent. One of the four writers also pointed out he was a member of the Society, and would not renew this membership due to the new fees; another asked if there would be special treatment for members.

While any negative response may only be the tip of the iceberg, one can hardly argue that four letters (all from individuals, by the wa,, none from libraries) indicates either a strong negative reaction, nor particular hardship. It is also interesting that the news items which appeared regarding the fees only reported the fact--there was no editorial comment either way.

Results from the survey were even more interesting, since this appears to have been the first time the issue has been raised.

A total of 80 libraries answered the first question: did they experience any retaliation? Only 17 indicated they had (and 11 more said they weren't sure). The most typical "retaliation" was imposition of reciprocal charges, noted by 10 of the respondents. One of these noted libraries also refused to accept their coupons in payment of these fees, insisting upon money. Three others indicated they had experienced libraries who flatly refused to pay the borrowing fee, and yet three others indicated libraries who actually refused lending altogether. One noted as retaliation that libraries stopped borrowing from them! Another, in a similar vein, indicated that a group of local libraries formed a consortium, and then refused admittance to the "offender" who had started charges.

The term "retaliation" was deliberately left undefined, in order to allow the respondents free rein. This was a useful exercise, since a number of those who indicated they had not experienced "retaliation" also mentioned, in passing, that, as expected, some institutions had begun reciprocal charges especially for them. Apparently, some people's "fair play" is others' "retaliation."

The consensus regarding the second question of this nature was clear: Only two libraries were aware that any network, or other libraries associated with them, had experienced trouble as a result of their charges. One commented that they were "sure" that other members of their system

had had problems; the other specifically noted a problem since they were the center for the network: refusals of other libraries to lend to them meant, in effect, that network members also could not get material.

RESULTS--INTERLIBRARY LOAN REQUESTS

SUMMARY:

In short, the results of the 18-month collection of ILL request data verify the assumptions that charges will reduce requests; but they did not reduce such traffic by the 25% or more predicted by the hypothesis. In fact, the overall difference in number of requests received from the baseline to the charging condition was only -18.95%. However, the drop in requests filled during the six months in questions was -31.48% While there is no direct connection between the request count and the fill count (see below, p. 37) these numbers do imply that (a) there is a significant dropoff in demand for interlibrary loan when charges are assessed, and (b) a significant number of requesters, when notified that they must pay a fee, change their mind. This latter phenomenon was also noted in the Battelle study[28].

Further, there was a change in the mix of ILL customers by type, based on the differential reaction to charging. There was a small increase in requests from academic libraries, with major decreases in those from public libraries--since these two types make up the vast majority of ILL customers, the corresponding decline in requests by special libraries (of all kinds) does not appear that important. It is worthy of note, however, that

the decrease in requests from public library systems, while notable, is much less that that from individual public libraries.

These results, however, may not be quite as dramatic as they appear: in order to verify the expected effect of charges, per se, the investigators made a point of listing the requests directly to the Society from Wisconsin libraries. A further check on the data was made by obtaining figures from the two statewide networks--WILS and the Bureau for Interlibrary Loan and Resource Sharing (which operates the state Reference and Loan Library). Although Wisconsin libraries, not being charged, should have continued their usual demand, requests from them to SHSW also declined, as did the amount of material obtained by WILS. The director of the State Bureau for ILL and RS was therefore asked to inquire among the state system directors if there was any feeling about the Historical Society--either awareness that it was charging, misunderstanding that charges applied to Wisconsin libraries, or any other apparent change in interlibrary borrowing behavior. As far as the directors of these regional networks were aware, there had been no particular awareness of any change in ILL patterns connected with SHSW.[29] Thus, it appears that part of the decline in requests to the Society Library are the result of long-term changes in interlibrary loan patterns, rather than a response to charging.

RESULTS:

Overall, in the eighteen-month period studied, the Historical Society Library interlibrary loan office received a total of 8418 requests . These came from all fifty states, the District of Columbia, and a number of other nations, primarily Canada and the United Kingdom. There were requests from all states and DC during all three phases, with the exception of Delaware and Hawaii, which sent no requests during phase 2, and Arkansas, which sent no requests during phase 3.

Total requests received showed a growth in phase 2, and then a significant decline in the third phase. The exact numbers were 2940 during phase 1, 3085 in phase 2, and 2382 in phase 3. The fill rate (i.e. transactions actually completed by the Society with a loan, or a photocopy) during the three phases was much the same: from 3231 to 3490 to 2214. This pattern, of course, is not directly connected to the requests noted during the study, since the fill rate, reported over a number of years by the library, consists of all transactions completed in the month in question. There will always be a delay of some kind between receipt of requests and filling of same--at the least, those received in the last couple of days of the month will not be completed until the next month. However, the overall trend should be about the same for requests and for fills.

COMPARISON

Since the design of the study does not permit control of all factors

which might affect ILL requests other than the imposition of charges, a number of parallel measures were examined to indicate "normal" ILL traffic. From these, it would appear that some part of the decline in ILL business is due to factors other than the fees.

First, records for the Historical Society's ILL in its modern form go back a number of years. From Figure 1(see above, page 15), it may be seen that the growth pattern of the early years appears to have peaked in 1981-82 at 16,770 filled requests, and then began a slow decline. It is also of interest that there has been rather more dramatic fluctation in the direct-from-SHSW transactions, including a drop during the first years of WILS, and another drastic drop in 1978-79.

The year 1984-85 included the first two phases of the current study (i.e. before any fees), and saw a decline in number of filled requests. Since the count of requests indicates an increase in requests, the decline in fills cannot be a result of lower traffic, nor, since there were no fees imposed, can it be the result of response to them. Given the fluctuation of the fill rate over the past several years, it is premature to attempt to project a rate of decline which could be compared with the pattern during the third phase of the study.

It was also possible to obtain the request rates for WILS and for the state Reference and Loan Library for the three six-month periods of the study (see Table 4).

TABLE 4

WISCONSIN INTERLIBRARY REQUEST RATES COMPARED

LENDING SOURCE	PHASE ONE	PHASE TWO	PHASE THREE	%CHANGE ONE-THREE
State Historical Society	201	140	127	-36.8%
Wisconsin Interlibrary Services[1]	40,659	48,102	41,653	+ 2.4%
Wisconsin Reference and Loan Library[2]	45,905	57,543	50,408	+ 9.8%

[1]Correspondence with Mary Williamson, WILS Interloan Coordinator, 28 May, 1986.

[2]Monthly reports in Channel DLS, newsletter of the Wisconsin Division of Library Services.

While the Society, due to the interlocking state networks, should not receive any direct requests from Wisconsin libraries, it does get them. However, Wisconsin requests dropped from 201 in phase 1 to 140 in phase 2, to 127 in the third phase, for a drop from the baseline to the fee system of over one-third. At the same time, the total number of requests to the two state networks increased in the same time period. These data indicate that interlibrary loan, within the state as a whole, did continue to grow, even as the requests to the library in question dropped. Again, since it was made very clear that the ILL fees would not apply to the state, there should have been little effect here. Neither network director was aware of any

particular reason for this apparent change in the Historical Society's traffic. In particular, they had not received any indication that state libraries were avoiding the Society because of announced ILL fees.[30]

COMPARISONS: WITHIN STUDY

The decision to code each request both by 3-digit ZIP code and by state turned out to have great value. Any plotting of the request pattern by state is misleading, if one refines the plotting to ZIP codes. The most dramatic change may be seen in a comparison of total requests (for all three phases) by state and by ZIP. In the first instance, it appears that the upper quartile of all requests come Illinois, California, and Wisconsin; the upper half comes from these states, plus Minnesota, Ohio, Michigan, Washington, New York, and Texas. However, examination of the more specific source of requests shows many more states involved. The upper quartile of requests, when specific location can be determined, actually comes from Illinois, foreign nations, Minnesota, Wisconsin, Washington, California, Arkansas, Indiana, Nebraska, and Alabama, with the largest number of requests coming not from Chicago (as might be assumed from the state tally) but from Champaign. Examination of these requests shows them originating both at the University of Illinois (196 requests), and the Lincoln Trails Library System (57 requests).

The ability to examine requests at this level of detail permits comparison of the requests before and after charging, as may be seen from the following table .

TABLE 5

UPPER QUARTILE OF REQUESTS

THREE-DIGIT ZIP CODES

ARRANGED BY RANK IN PHASE THREE

ZIP	LOCATION	REQUESTS, PHASE 1	REQUESTS, PHASE 3	CHANGE, PHASE 1 TO 3
618	Champaign, IL	58	111	+91%
001	Non-U.S.	87	68	-22%
606	Chicago, IL	43	51	+19%
547	Eau Claire, WI	49	36	-27%
600	North Suburban, IL	56	36	-38%
685	Lincoln, NE	24*	35	+46%
631	St. Louis, MO	12*	30	+150%
985	Olympia, WA	28	28	no change
374	Chattanooga, TN	0	27	∞
554	Minneapolis, MN	49	27	-45%
191	Philadelphia, PA	17*	26	+53%
926	Santa Ana, CA	18*	26	+44%
947	Berkeley, CA	5*	25	+400%
474	Bloomington, IN	27*	24	-11%

ZIP	LOCATION	REQUESTS, PHASE 1	REQUESTS, PHASE 3	CHANGE, PHASE 1 TO 3
551	St. Paul, MN	21*	21	no change
531	Milwaukee, WI south	51	20	-61%
010	Springfield, MA	20*	19	- 5%
601	North Suburban, IL	54	16*	-70%
981	Seattle, WA	48	16*	-67%
900	Los Angeles, CA	46	13*	-72%
605	South Suburban, IL	38	2*	-95%
354	Tuscaloosa, AL	36	7*	-81%
481	Detroit, MI	36	12*	-67%
548	Spooner, WI	33	15*	-55%
841	Salt Lake City, UT	30	11*	-63%
611	Rockford, IL	29	15*	-48%

*Not in upper quartile in this phase.

From the above, it is again clear that, while fees may have an effect on some libraries, this may not be true overall. Those areas which show an increase in traffic during the third phase are especially interesting; others, not in the upper quartile, also show the same phenomenon. While fees may, in fact, reduce requests from some libraries, they appear to have little if any effect on others.

Further study of this phenomenon is warranted--for example, do those libraries who continue to use the service seek things only available at the

Historical Society? Is there any significant difference between types of libraries, reciprocal vs. "customer" libraries, and the like? Some indication of the difficulties involved may be seen by examining the specific libraries involved in the upper quartile Zip code regions.

The upper quartiles include a total of 26 regions, with a total of 129 libraries. During the first, non-fee phase, 101 libraries in this group sent requests to the Society; in the fee phase, 92 did so. However, while there was a dropoff of 37 libraries (who did not send requests during the third phase), 29 new libraries (who did not request during the first phase) did send requests. And, of the 63 libraries who participated in both phases, 21 actually sent more requests when they had to pay fees, and three more sent the same number. This group, apparently unaffected by the fees, included 11 reciprocal borrower-lenders.

Or, the dropoff in requesting libraries which could have been due to fees was nearly made up by the addition of "new customers," and roughly half of the carryovers were institutions which had to pay (since they would not have received any free coupons). These results are enough to call into question the whole assumption that fees cause libraries to avoid the chargers. Not only is further analysis on the existing data needed, but an inquiry into the reasoning of the borrowing libraries also appears in order. Such work is already underway.

A clearer case for a differential effect may be present when examining the requests by type of library. Since many of the types of libraries were so

weakly represented, this analysis is based on a recoding of Academic and Junior College as Academic; and of all special libraries into one category--Special. School libraries, Brokers, Public Libraries, and Library Systems remain in separate categories. Since Brokers and School Libraries represent such a small number of cases, they are not considered in this analysis.

TABLE 6

COMPARISON OF RATE OF REQUESTS

BY TYPE OF LIBRARY

PHASE 1, 2 AND 3

LIBRARY TYPE	PHASE ONE	PHASE TWO	PHASE THREE	RATE OF CHANGE, PHASE 1-PHASE 3
Can't identify	16	3	12	-25.0%
Broker	4	0	2	-50.0%
Academic	1128	1264	1133	+00.4%
School	3	11	2	-33.3%
Public	1312	1287	833	-36.5%
Public System	367	392	306	-16.6%
Special	111	128	94	-15.3%
TOTAL	2941	3085	2382	-19.0%

The academic libraries, as a group, show the least effect from the imposition of the fees--in fact, there is a slight increase in requests from this group after fees were imposed. On the other hand, the public libraries, as a group, showed the greatest decline in requests--37%. Public library systems, however, showed a decline of only 17%. While the special libraries, as a group, showed a decline, the total number of requests is so small that this is not significant.

While it can be misleading to infer too much from the above, the following seems a reasonable explanation until more research is done: It appears that academic libraries are more likely to charge than are public libraries. In addition, many academic libraries routinely absorb the costs of ILL for at least some of their users (e.g. faculty). Thus, it is plausible that (a) the libraries are more used to paying fees; and (b) within limits, a given fee will not affect their user. Given the nature of the State Historical Society's collection, a third element may also be present--the material desired is only available from SHSW, or only from SHSW and other institutions which also charge.

Similar factors may also apply to the public library systems: Many of them either charge a user fee, or receive some form of subsidy from their governing body. Thus, as with the academic libraries, the systems may be more accustomed to fees already; may also not pass them on to their users; and may have come to the Society as the sole (or best) source. Since it is possible to determine which specific items have been requested, it is

possible to test this "sole or best source" hypothesis, a project which is presently underway.

The substantial decline in public library requests is more disturbing. Given the size of the decrease, it appears on the face of it that the $5.00 fee did, in fact, reduce access to the Society's collections. Whether the fee also reduced access to the information is less clear. It is possible that the libraries merely chose other sources . It is also possible that the public libraries were more likely to pass charges on to their users, and that the users thus became more focussed in their requests.

This latter situation could obtain in the following example: Prior to charging, a user tracing a genealogy might request the entire run of a newspaper. Having been told that there was a $5.00 charge for every six reels, the user might first do other research to narrow the search, for example, to the papers published between 1900 and 1903, which might be on only three reels. Again, this aspect of ILL fees needs further research.

RESULTS--INTERNAL COSTS

SUMMARY:

While the library staff did not find the imposition of fees an overall burden, other Society staff did experience an increase in work. While part of this was a direct result of the addition of a new fee (and thus income source, budget line, etc.), an unexpected phenomenon was also involved. A

large number of libraries merely passed the fee on to their users, without providing copies of the bill. Thus, the Society staff spent considerable time trying to trace unexplained income, and to connect it with unpaid bills.

DISCUSSION:

For the purpose of this study, a relatively crude measure of work expended was used--a one-week diary. In addition, staff involved were interviewed for their impressions regarding workload after the imposition of fees. The present intention, of course, was to obtain some indication of general costs, rather than a definitive cost figure, particularly in view of existing disagreement on costs connected with ILL.

For the weeks in question, we found that there was an impression among library staff, backed up by their diaries, that they did not spend more time on ILL as a result of the fee system. A total of time for all library staff in the no-fee condition was 37 hours, 48 minutes; during the week when fees were charged, total library staff time was 32 hours, 19 minutes. The greatest decrease in staff time expended was in the person most involved in the ILL system--the Circulation Librarian. In the first phase, she spent 30 hours and five minutes handling a total of 700 requests; in the third, she spent 23 hours, 5 minutes handling 795 requests.

In general, then, there did not seem to be a negative effect on the library staff due to the charging of fees. The increase in items handled by the Circulation Librarian is due to the need to handle some more than once, due to fees. In particular, failure of a borrower to include a coupon with a

request (other than those on OCLC) led to a need to return the forms, with a rubber-stamped message reminding the borrower of the need for a fee.

However, during phase three, we found two new staff members were affected, who had not been involved in phase 1. The Historical Society, as a state agency, has a rather elaborate auditing procedure. This includes the need to log in all monies received when received--thus all non-first class mail is opened in the mailroom, and all checks, money orders, and similar removed , assigned a transaction number, and logged in. Since the new fee system involved a new source of funds, extra work was placed on the mailroom supervisor--occupying about 2 hours per week.

In addition, two staff in Administrative Services found the system created new burdens. One of these has been involved before, in the creation of invoices for charges for photocopying. Under the new system, this staffer was involved in selling, and accounting for, the coupons, a task which involved a negligible amount of time. However, due to the large number of libraries not using coupons, this person had to prepare more invoices. A comparison of her time in the two phases showed an increase from ten minutes for 7 invoices (all for photocopying) to one hour and forty minutes to handle 53 invoices under the fee phase. For the sake of present estimates, then, one can argue that this staffer had to spend about an hour and a half extra time due to the charging of fees.

A third staffer is also involved in the tracking of invoices, preparation of past-due notices, and related duties. Again, it appears that the fee system involves about a half hour a week of extra time.

COST ANALYSIS:

In order to protect the confidentiality of the staff involved, only aggregate figures will be given. The total extra time involves three people, for a total of four hours per week. Based on the 1985-86 salary and fringe benefit rates, this time costs about $44.47 per week; or about $2312.00 per year. Based on the six months studied, income from the fees was $4366.00 for a half-year. Projecting the income for a year, we arrive at $8732.00 less $2312, for a net return of $6420.00.

To this should be added the time savings within the library (based primarily upon reduction of traffic), which involved other staff members besides the Circulation Librarian, for a total of about 8.5 hours per week. Again, applying the relevant salary rates, the library saves $137.19 per week, or about $7134 per year. Thus, the charging of a transaction fee in this case (1) more than pays for itself, and (2) adds approximately one-third of a paraprofessional staff member's time to provide other information services.

PROBLEMS WITH THE FEE SYSTEM

The nearly four hours a week of staff time appears rather large, expecially given the traffic involved. Interviews with a number of the staff provide the explanation. Although the job diary system was not sophisticated enoughe to provide detailed information, the interviewees were in agreement as to where the burden came: the acceptance of cash

payments as well as coupons. The coupon sales were readily absorbed into the existing system, and created little extra burden. Use of the coupons required no real additional time--since no money was exchanged, there were no new bookkeeping requirements, except that involved in the library for OCLC requests (handled by a short note in the system that a coupon had to be included when the book was returned).

However, a rather large proportion of the libraries involved did not send coupons. Handling each of these requests thus required preparation of intra-Society records, an invoice, and related records. To this cumbersome, but required, procedure, was added a surprising element, out of the Society's control--poor business practice on the part of the borrowing libraries.

It appears that a large number of libraries merely passed the charge on to their users,[31] often with no instructions as to how to proceed. Many users appear to have merely sent a check for $5.00 made out to the State Historical Society--without the invoice, or any other indication as to the purpose of the check. Since the Society receives many donations, these checks appear to be general donations. Thus attempts to match these checks with the invoices were extremely time-consuming, and the mail room supervisor was also required to double-check all apparent $5.00 donations especially carefully.

To add to the problem, of course, the bills had been made out to the libraries, not to the individual user. Thus, past-due notices were sent when the invoice had not been paid. The resulting correspondence, including claims of payment, denial of liability, and similar replies from the

borrowing libraries consumed even more time.

At the present, the Society has already modified its procedures to include an extra copy of the standard ILL form, complete with a rubber-stamp notice that it must included with payment for proper credit, when it sends an item. Presumably this will help.

SUGGESTIONS FOR THE FUTURE:

It appears that the one major problem with charging, at least in the case of this library, is in the acceptance of checks and money orders as well as coupons. Certainly, there was no reason to expect this to be a problem, since the library had charged for photocopying for many years, without any serious problem.

A reasonable third choice, totally outside the hands of the Society, of course, is better business practices on the part of borrowing libraries. Certainly, enclosure of a copy of a bill with payment does not seem too radical, even if the actual payment is made by the user. An easy way to handle this would be to accept the check directly from the user, and then attach it to the invoice, which the library could then readily return when it returned the book.

In any event, the apparent degree to which libraries pass along interlibrary charges to their users is rather surprising. After all, many libraries routinely accept user requests for purchase, without passing the bookdealer's charge to the requester. It would not seem unreasonable that libraries would budget within their collection development line for

interlibrary borrowing. Objection to user charges should extend to the assessment of such charges--after all, an ILL fee is actually assessed to the institution, not to the end user. Acceptance of the obligation to support, to at least some degree, the burden on the lending library by the borrowing library will assist in continuance of the whole ILL system.

SUMMARY AND CONCLUSION

While fees for service continue to be an issue, the evidence as to their effect is very scanty. At least in the case of interlibrary lending, the response to one institution's fees has been mixed: neither the rate of requests nor that of filled requests dropped as much as previous research suggested; while some customers appear to have been lost, many others were found. The reduction in ILL traffic, however, does not appear completely the result of fees, in any case. The income from the most common fee more than paid the incremental costs of setting up the system, but the extra record keeping was quite burdensome.

While further research on the effects of fees is warranted, it is not premature to say that, in the case of a given library, fees can be a means of equitably distributing real costs of providing services to those who otherwise would pay nothing. And, from the evidence to date, such fees will not reduce traffic as much as direct user fees, such as are charged to consumers of online services.

NOTES

[1]Philip Rosenberg, "The Role of Fees in Supporting Library and Information Services in Public and Academic Libraries. (NCLIS, April, 1985) pp.21-26.

[2]Charles. C. Jewett, "Appendix," Smithsonian Institution Annual Report, Government Printing Office, 1849, cited in Vern M. Pings, Interlibrary Loans: A Review of Library Literature, 1876-1965, (Wayne State University Biomedical Information Service Center, 1965), p. 1

[3]Pings, Interlibrary Loans, p. 15.

[4]Vernon E. Palmour and others, A Study of the Characteristics, Costs, and Magnitude of Interlibrary Loans in Academic Libraries (Greenwood, 1972).

[5]Palmour, Study, pp. 5-6.

[6]Vernon E. Palmour and others, "Methods of Financing Interlibrary Loan Services," (Westat, 1974), especially pp. 66-76.

[7]Pings, p. 15.

[8]Palmour, Study, p. 29.

[9]Donald A. Smalley and others, "Linking the Bibliographic Utilities: Benefits and Costs," (Battelle Memorial Institute, 1980) pp A3-11 to A3-14 (ERIC pages 228-232).

[10]Thomas Waldhart and Trudi Bellardo, "User Fees in Publicly Funded Libraries," Advances in Librarianship 9 (1979), 31-61.

[11]Rosenberg, pp. 27-37.

[12]Association of Research Libraries, System Procedures and Exchange Center, "Interlibrary Loan in ARL Libraries, SPEC Kit 92," (ARL, 1983), pp. 1-22.

[13]Mary M. Huston, "Fee or Free: The Effect of Charging on Information Demand," Library Journal 104 (September 15, 1979), 1811-1814.

[14]Waldhart and Bellardo, p. 50.

[15]Rosenberg, p. 33.

[16]Oscar Firschein and Roger Summit, "Online Search in the Public Library...," Proceedings of the 40th Annual ASIS Meeting, 1977, fiche #3, frames E10-F6.

[17]Roger Summit and Oscar Firschein, "Public Library Use of Online Bibliographic Retrieval Services...," Online 1 (October, 1977), 58-64.

[18]S.A. Rubin, "Service Charging: An IAC Experience." Collection of Papers Presented at the 6th ASIS Mid-Year Meeting, ASIS, Syracuse University, pp. 156-163; cited in Waldhart & Bellardo, pp. 51-52.

[19]Lois J. Lehman and M. S. Wood, "Effect of Fees on an Information Service for Physicians," Bulletin of the Medical Library Association, 66 (January, 1978), 58-61.

[20]Cheryl A. Casper, "The Impact of Economic Variables on the Demand for Library Services," Proceedings of the ASIS Annual Meeting, 16 (1979), 41-49.

[21]Karmen N. T. Crowther, "Subsidized Computer Search Fees in an Academic Library," Proceedings of the National Online Meeting, (Learned Information, 1981), 151-157.

[22]Pamela Kobelski and Jean Trumbore, "Student Use of Online Bibliographical Services," Journal of Academic Librarianship, 4 (March, 1978), 14-18.

[23]Harry H. Kibirige, The Information Dilemma: A Critical Analysis of Information Pricing and the Fees Controversy (Greenwood, 1983), pp. 139-160; 167-172.

[24]Kibirige, pp. 158-160.

[25]William H. Kaempfer and Raymond T. Brastow, "The Effect of Unit Fees on the Consumption of Quality," Economic Inquiry, 24 [i.e. 23] (April, 1985), 341-348.

[26]Leslie R. Morris and P. F. Brautigan, Interlibrary Loan Policies Directory (American Library Association, 1984).

[27]Haynes McMullen, "History of Charging for Services in American Libraries That Have Traditionally been Free," in Charging for Computer-Based Reference Services (Reference and Adult Services Division, American Library Association, 1978), pp. 3-16.

[28]Rubin, see note 16.

[29]Phone interview with Sally Drew, Bureau Director, 21 March, 1986

[30]Phone interview with Kathryn Schneider, Director of WILS, 14 March, 1986.

[31]Unfortunately, this phenomenon was not reported to the authors until late in March, 1986, so no definite count is possible.

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APPENDIX 1

ANNOUNCEMENTS OF INTERLIBRARY FEES

February, 1985

LIBRARY DIVISION

Dear Interlibrary Loan Librarian:

Beginning 11 July, 1985, we will assess a service charge of five dollars ($5.00) per filled interlibrary transaction supplied by the State Historical Society of Wisconsin Library to any agency outside the state of Wisconsin.

We take this step with great reluctance, but feel it is necessary in order to maintain our services both to the people of the state, and to our colleagues across the country. Our decision is based on continuing budgetary constraints, rising costs, staffing needs, and the unequal nature of our borrowing-lending ratio, combined with a continued increase in interlibrary traffic. In recognition of these facts, we have received extra compensation from the state of Wisconsin for our interlibrary resource sharing for over a decade; we now must obtain similar assistance from libraries outside the state.

The policy is quite simple: After the 11th of July, the following will apply:

LOANS: One title equals one transaction. Our former postage charge is eliminated. We will supply up to six volumes of printed material, or six reels of microfilm per transaction; we will supply as many microcards or microfiche as are necessary for one title.

PHOTOCOPIES: One title equals one transaction. Our former postage and handling charge is eliminated. Instead we will charge $5.00 plus our actual per-exposure cost of copying. (Our per-exposure charges will not be raised.)

In order to simplify bookkeeping, we will use a coupon system. You may send the coupon or a check or money order with the request; we will return it if we cannot fill the request. We will continue to bill with the order for photocopies. Coupons may be purchased in increments of $5.00 in any amount by contacting:

Ms. Debbie Cravens
ILL Coupon Sales
Fiscal Services
State Historical Society of Wisconsin
816 State Street
Madison, Wisconsin 53706

As a matter of equity and courtesy, we will send one of our coupons with the request, each time we ask for a loan from any library outside Wisconsin. Naturally, we will continue to pay any charges assessed by other libraries.

This policy will apply to all interlibrary requests filled by us for libraries outside the state of Wisconsin, whether the request is received by mail or OCLC. It does not apply to any library within the state of Wisconsin, nor to members of the Wisconsin Interlibrary Services (WILS) who send requests through them.

James H. Sweetland, Head Librarian

THE STATE HISTORICAL SOCIETY OF WISCONSIN

816 STATE STREET · MADISON, WISCONSIN 53706 RICHARD A. ERNEY, DIRECTOR

Interlibrary Loan Study
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Society News Items

WORKSHOPS for local historical societies will be held at three locations around the state on April 13. Reservations are required, and times and places will be provided registrants. Write or call (608-262-9613) Connie Meier at the Society's headquarters. The workshops and topics are:

- Sheboygan (Sheboygan County Historical Society, host), period settings, advanced fund raising, and cataloging paper records.
- Park Falls (Price County Historical Society, host), historic photographs, introductory fund raising, and conserving paper records.
- Madison (State Historical Society, host), using the Society's research collections, oral history, and preserving historic buildings.

Preservation Workshops

PRESERVING downtown districts is the topic of the 1985 Wisconsin Historic Preservation Conference on Friday, May 3, at the Society headquarters building in Madison. The Wisconsin Downtown Action Council and the Wisconsin Chapter American Planning Association are joining the Society as sponsors.

The presentations will stress reusing and rehabilitating buildings in commercial areas and how to finance, design, and promote such efforts.

Registration is $25. The conference begins at 9 A.M. Write or call Larry Reed of the Historic Preservation staff, 608-262-4771.

TV Film Collection

SOME 1,500 reels of the most famous television shows of the 1960's, 1970's, and 1980's have been added to the Society's holdings, making it the third-largest repository of television films in the nation. The donation was made by Paramount Pictures Corporation of Hollywood, and it includes virtually complete sets of such popular series as "Happy Days," "Laverne and Shirley," "Taxi," and "Mission Impossible."

The Paramount collection supplements earlier donations of television materials of the 1940's, 1950's, and 1960's such as "The Defenders," "Highway Patrol," "Philco Goodyear Playhouse," and the "Mary Tyler Moore Show." The films belong to the University of Wisconsin-Madison's Center for Film and Theatre Research, whose archives and viewing facilities are housed at the Society's headquarters building.

Paramount selected the Society thanks to "an outstanding reputation for quality storage of its materials." Russell Merritt, the UW professor who directs the center, believes the films will enable scholars "to find out what appealed to American audiences in the sixties and seventies." Such series, he said, "are a remarkable barometer of popular taste."

'Historic' Cake

VALENTINES from the Museum collection were used to inspire authentic designs for a prize-winning cake created by Irene Hanson of Madison's Cake Corner, which took the top award in the professional category at the Madison Art Center's Incredible Edible contest on February 9.

Hanson made another example for the national "Today Show," and in local television interviews gave the Society profuse credit for its help.

Loan Charge Study

AS PART of a grant-funded study of interlibrary loans, the Society will experiment with charging out-of-state libraries a $5 fee for each request, beginning this July. The Board of Curators will review the results in 1986 before deciding whether to make the fee permanent. Many similar institutions throughout the country currently charge up to $15 each for such loans.

The study was prompted by rapidly growing numbers of interlibrary loan requests: 2,970 in 1970-1971 to more than 16,000 in 1983-1984, with 6,500 from outside the state. At the same time, the Society staff which handles such requests actually decreased, while much of the increased demand was handled by the staff of the tax-supported Wisconsin Interlibrary Services. Nationally the Society is one of the major "net lenders," borrowing only one item for each ten it lends.

The fee will be charged to libraries, not to patrons.

Museum Programs

PUZZLED about an object around the house? Then consult the Society's Museum staff and a panel of collectors at an identification clinic from 1 to 3 P.M. Saturday, April 13. Bring the object along. No monetary appraisals or guarantees of authenticity will be given.

The cultural and natural aspects of prairies is the subject of a panel discussion in the Society auditorium at 2 P.M. Saturday, April 27, with Howard Kanetzke, Joyce Powers, and Bob Arhenhoerster.

And works of Wisconsin rural art created between 1936 and 1960 will be exhibited at the Society as part of a four-gallery show spread across the campus from May 4 through August 31.

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APPENDIX 2

THE SURVEY QUESTIONNAIRE

LIBRARY DIVISION

14 June, 1985

Dear Colleague:

I would like to ask your help in a study of interlibrary loan fees. While I would prefer not to impose on you, it has been impossible to get the information needed in any other way. Thus, I would really appreciate your response.

The State Historical Society library, as have many other libraries, has seen a massive increase in interlibrary loan requests over the last decade. Since this has been combined with a decrease in staff available to provide the service, we reached the proverbial rock and hard place dilemma--either reduce the service, or begin to get new funding for it. Our reluctant conclusion was to charge a flat transaction fee for out-of-state requests.

In the process of coming to this decision, we have discovered that, with all that has been said on the subject, there was actually little hard data on interlibrary fees. In particular, there is little evidence on the questions: "do fees reduce traffic to the library charging them (and thus, presumably other libraries' access to information)" and "does a reasonable fee bring in enough funds to be worth the trouble?" Our governing body, the Board of Curators, was quite adamant that we answer these questions.

In response to this mandate, Dr. Darlene Weingand of the University of Wisconsin, Madison School of Library and Information Studies and I applied for and received a small grant from the Council on Library Resources to study ths issue, using the experience of our library as a test case. As part of this study, we also need some information on the experience of other libraries.

Using several directories of interlibrary services, we have identified your library as one which does charge for ILL. The enclosed form asks for a number of pieces of information regarding the practice which are not clear or unavailable from published information.

We will use your response as data for the following: First, a formal report to our Board of Curators; second, as part of a report to the CLR; third, in a published article for the use of the library community at large. In none of these will we identify your library specifically.

However, we would like to send your a copy of the results, should you wish. This, we do ask for your institution name and address as part of the last item, if you would like a summary of the results of this survey. Again, I assure you your response will remain anonymous.

Thank you very much for your help.

Sincerely yours,

James H. Sweetland
Head Librarian

THE STATE HISTORICAL SOCIETY OF WISCONSIN
816 STATE STREET · MADISON, WISCONSIN 53706 RICHARD A. ERNEY, DIRECTOR

INTERLIBRARY LOAN FEE SURVEY

PLEASE FILL OUT THE FOLLOWING AND RETURN IN THE ENCLOSED ENVELOPE BY 15 July 1985.

1: Title of person filling this out: _____

2: Name of library you are with: _____

3: Do you wish a copy of the survey results? _____
(If "yes", please give your mailing address in the comments section, item 15 below).

4: Note your charges for providing interlibrary loans:

LOANED	LENDING CHARGE	POSTAGE	OTHER	OTHER	OTHER	NUMBER OF ITEMS LENT PER CHARGE
BOOKS						
PERIODICALS						
MICROFORMS						

5: Are there any exceptions to these charges (e.g. less for instate; don't charge home network members; etc.) Please list exceptions:

6: Note your charges for providing photocopies in lieu of loans:

ORIGINAL	COPYING CHARGE	POSTAGE	OTHER	OTHER	OTHER	NUMBER OF ITEMS COPIED PER CHARGE
PERIODICAL ARTICLES						
MICROFORMS						

7: Are there any exceptions to these charges (see question 5 above; if same exceptions, please just note "same").

PLEASE CONTINUE NEXT PAGE

INTERLIBRARY LOAN FEE SURVEY, PAGE 2

8: Do you have any other charges associated with interlibrary services? (e.g. a search charge even if you don't supply the item requested) Please list:

9: When did you begin charging for:

Interlibrary lending: _____ Interlibrary copies in lieu of loans_____

10: How will you accept payment? (check all that apply)

Check/money order ___ Will bill ___

Your own coupon ___ _____ ___

Any ILL coupon ___. _____ ___

11: Do you require prepayment with request: yes ___ no ___.

12: If you require prepayment, how do you handle requests arriving over the telephone or a computer system (e.g. OCLC, TWX)?

13: Has your library or the institution of which it is a part experienced any form of retaliation as a result of your charges? (e.g. refusal of ILL by other libraries; special fees assessed to your library; donors or members refuse to belong or donate): Please explain

14: Have your state, the network to which you belong, or other libraries (e.g. part of your university system on other campuses) experienced any form of retaliation as far as you are aware? Please explain.

15: Any other comments will be appreciated: (if you wish a copy of the results of this survey, please remember to include your mailing address)

COMMENTS ON REVERSE: yes ___ no ___

THANK YOU VERY MUCH FOR YOUR TIME AND TROUBLE.